

S/N 10/666,728

PATENT



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Jennifer Amys et al. Examiner: Unknown  
Serial No.: 10/666,728 Group Art Unit: 3626  
Filed: September 19, 2003 Docket: 1640.001US1  
Title: SYSTEM, METHOD AND SOFTWARE FOR ACQUIRING, STORING AND RETRIEVING  
ELECTRONIC TRANSACTIONS

**COMMUNICATION RE: INCORRECT FILING RECEIPT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Applicants hereby request correction of the Filing Receipt with respect to the above-identified patent application. In the Filing Receipt mailed November 10, 2004, (copy enclosed), the following errors apply:

- 1) Applicant #1, Jennifer Amys, residence is not cited. Bloomington, MN is the correct residence. Please refer to enclosed Combined Declaration and Power of Attorney for reference.
- 2) Applicant #2, Chung Crowley of Redondo Beach CA, is excluded from filing receipt. Please refer to enclosed Combined Declaration and Power of Attorney for reference.
- 3) "Upstream Software, Inc." should be cited as Assignee. Please refer to enclosed Assignment for reference.

Applicants would appreciate the above-identified printing error be corrected and that a new "corrected" filing receipt be sent to Applicants' representatives at the address given below.

Respectfully submitted,

Jennifer Amys et al.

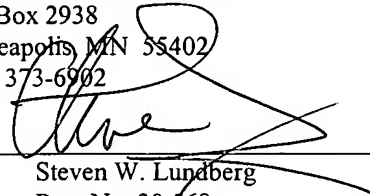
By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402  
(612) 373-6902

Date

1/05/2005

By

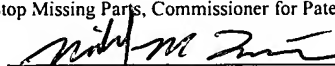
  
Steven W. Lundberg  
Reg. No. 30,568  
SWL:CMG:mmml

**CERTIFICATE UNDER 37 CFR 1.8:** The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Attn: Mail Stop Missing Parts, Commissioner for Patents, P.O.Box 1450, Alexandria, VA 22313-1450, on this 7 day of January 2005


Name

Michael M. Linse

Signature





Receipt is hereby acknowledged for the following in the United States Patent and Trademark Office: 

In re application of: Jennifer Amys et al.

Serial No. 10/666728

Filed: September 19, 2003

Title: SYSTEM, METHOD AND SOFTWARE FOR ACQUIRING, STORING AND RETRIEVING ELECTRONIC TRANSACTIONS.

**CONTENTS:** An Assignment to Upstream Software, Inc. (3 pgs.), Recordation Form Cover Sheet (1 pg.), check in the amount of \$40.00 which represents the Assignment Recordation Fee, and transmittal document (1 pg.).

SWL:CMG:lam

Mailed: February 17, 2004

Docket: 1640.001US1

Due date: N/A



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jennifer Amys et al.

Title: SYSTEM, METHOD AND SOFTWARE FOR ACQUIRING, STORING AND  
RETRIEVING ELECTRONIC TRANSACTIONS

Docket No.: 1640.001US1

Filed: September 19, 2003

Examiner: Unknown

Customer No.: 21186

Serial No.: 10/666,728

Group Art Unit: 3626

Confirmation No.: 6050

Attn: Mail Stop Assignment Recordation Services  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

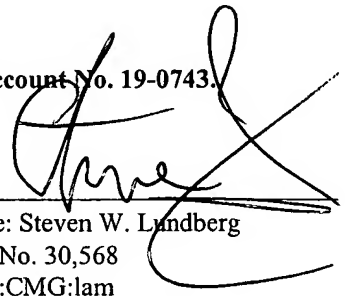
We are transmitting herewith the attached:

- ☒ An Assignment of the invention to Upstream Software, Inc. (3 pgs.) and Recordation Form Cover Sheet (1 pg.).
- ☒ A check in the amount of \$40.00 to cover the Assignment Recording Fee for Upstream Software, Inc.
- ☒ A return postcard.

Please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.

Customer No: 21186

By:   
Name: Steven W. Lundberg  
Reg. No. 30,568  
SWL:CMG:lam

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Attn: Mail Stop Assignment Recordation Services, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 17 day of February, 2004.

Lynne Mitchell-Becker  
Name

Lynne Mitchell-Becker  
Signature

## ASSIGNMENT

WHEREAS, We, Jennifer Amys, residing at 7662 South Bay Dr., Bloomington, MN 55438, and Chung Crowley, residing at 1300 Carmelita Ave., Redondo Beach, CA 90278, made certain new and useful inventions and improvements for which we filed an application for Letters Patent of the United States on September 19, 2003, which application was assigned U.S. patent application serial number 10/666728, and is entitled SYSTEM, METHOD AND SOFTWARE FOR ACQUIRING, STORING AND RETRIEVING ELECTRONIC TRANSACTIONS;

AND WHEREAS, Upstream Software, Inc., a corporation organized and existing under and by virtue of the laws of the State of California, and having an office and place of business at 5155 Rosecrans Avenue, Suite 1143, Hawthorne, CA 90250 (hereinafter "Assignee"), is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, continuations-in-part, or renewals thereof, all Letters Patent which may be granted there from, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted there from; and we do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, we do hereby agree that we and our executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore, we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us and that full right to convey the same as herein expressed is possessed by us.

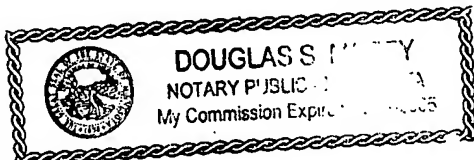
IN TESTIMONY WHEREOF, I have hereunto set my hand this 2 day of February, 2004.

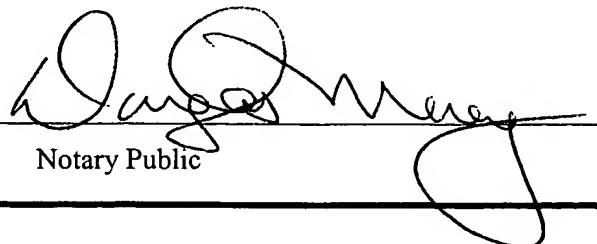
  
Jennifer Amys

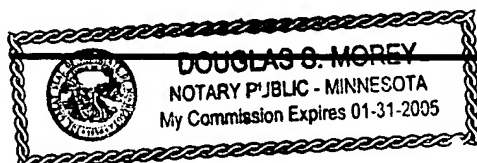
STATE OF Minnesota )  
 )ss  
COUNTY OF Hennepin )

On this 2 day of February, 2004 before me personally appeared Jennifer Amys, to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]



  
Notary Public



IN TESTIMONY WHEREOF, I have hereunto set my hand this <sup>3<sup>rd</sup></sup>~~th~~<sup>3<sup>rd</sup></sup> day of  
February, 2004.

Chung Crowley

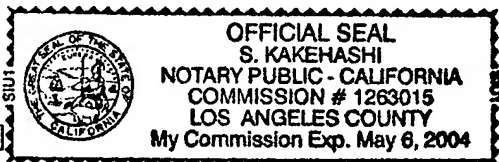
Chung Crowley

STATE OF CALIFORNIA )

COUNTY OF Los Angeles )ss

On this 3<sup>rd</sup> day of FEBRUARY, 2004 before me personally appeared Chung Crowley, to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]



S. Kakehashi

Notary Public

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Receipt is hereby acknowledged for the following in the United States Patent and Trademark Office:



In re application of Jennifer Amys et al.

Serial No. 10/666728

Filed: September 19, 2003

Title: SYSTEM, METHOD AND SOFTWARE FOR ACQUIRING, STORING AND  
RETRIEVING ELECTRONIC TRANSACTIONS

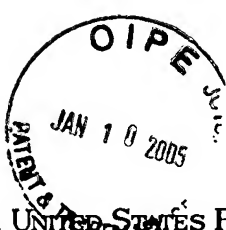
**CONTENTS:** Notice to File Missing Parts (2 pg.), Communication Re: Missing Parts (1 pg.), signed Combined Declaration and Power of Attorney (4 pgs), a Communication re: Incorrect Filing Receipt (1 pgs), Copy of Filing Receipt (2 pg.), check in the amount of \$ 65.00 which represents the Missing Parts Fee, check in the amount of \$ 450.00 which represents the base Filing Fee and transmittal document (1 pg.).

SWL:CMG:lam

Mailed: February, 17 2004



Docket: 1640.001US1  
Due date: February 16, 2004



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/666,728	09/19/2003	3626	450	1640.001US1	6	3	3

CONFIRMATION NO. 6050

21186

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. BOX 2938  
MINNEAPOLIS, MN 55402

## FILING RECEIPT



\*OC000000014335867\*

Date Mailed: 11/10/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Jennifer Amys, Residence Not Provided;

## Power of Attorney:

Thomas Brennan-35075

## Domestic Priority data as claimed by applicant

This appln claims benefit of 60/412,192 09/19/2002

## Foreign Applications

If Required, Foreign Filing License Granted: 12/12/2003

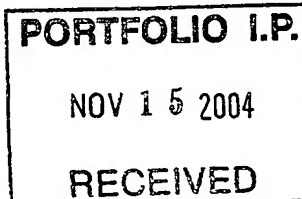
The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/666,728**

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*





**Title**

System, method and software for acquiring, storing and retrieving electronic transactions

**Preliminary Class**

705

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Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).